

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Werner Barton et al  
Title: Method for Operating a Frequency Converter of a Generator and Wind Energy Turbine  
Having a Generator Operated According to the Method  
Serial No.: filed concurrently  
Art Unit: n/a  
Filing Date: filed concurrently  
Examiner: n/a  
Docket No.: 46WD138884  
Date: September 11, 2006

## INFORMATION DISCLOSURE STATEMENT

Mail Stop Patent Application  
Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

Sir:

The following are submitted in the above application in compliance with 37 CFR 1.97 and 37 CFR 1.98.

[X] 1. A list of documents on Form PTO-1449 or Substitute together with copies of each identified document (other than U.S. patents and U.S. patent application publications unless required by the Office) and a translation thereof or a concise explanation of each non-English language document or a Search Report or communication from a non-US patent office or an International Search Report from an International Searching Authority for a patent application filed via the Patent Cooperation Treaty or document(s) cited in the application or the priority application.

This paper is submitted in accordance with:

[X] 2. 37 CFR 1.97(b): [within three months of national, non-CPA filing, prior to first Office Action, on the merits, or prior to first office action after filing an RCE]

[ ] 3. 37 CFR 1.97(c): [before Final Office Action, Allowance, or other action closing prosecution, whichever is earlier]; and

[ ] a. The required Certification made in item 5 below; or

[ ] b. The \$180.00 fee specified in 37 CFR 1.17(p) for submission of this Information Disclosure Statement is authorized in item 6 below.

[ ] 4. 37 CFR 1.97(d): [on or before issue fee payment]; and

a) The required Certification is stated in item 5 below; and

b) The \$180.00 fee specified in 37 C.F.R. 1.17(p) for submission of this Information Disclosure Statement is authorized in item 6 below.

## [ ] 5. Certification

- [ ] a. Each item of information contained in this Statement was first cited in any communication from a foreign patent office in a counterpart foreign patent application not more than three months prior to the filing of this Statement; or
- [ ] b. No item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign patent application and, to the knowledge of the person signing this document after making reasonable inquiry, no item of information contained in this Statement was known to any individual designated in 37 CFR 1.56(c) more than three (3) months prior to the filing date of this Statement.

## [ X ] 6. Payment of all applicable fees:

- Please charge all applicable fees associated with the submittal of this Information Disclosure Statement to Deposit Account No. 090470.
- Enclosed is a check in the amount of \$\_\_\_\_\_ in payment of all applicable fees associated with the submittal of this Information Disclosure Statement.

This document is submitted in duplicate.

Respectfully submitted,

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PTO/SB/108A (07-05)

Approved for use through 07/31/2006. OMB 0651-0031

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Substitute for form 1449/PTO

## **INFORMATION DISCLOSURE STATEMENT BY APPLICANT**

*(Use as many sheets as necessary)*

Sheet 7

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Complete if Known	
Application Number	Not available
Filing Date	September 11, 2006
First Named Inventor	Werner Barton et al
Art Unit	Not available
Examiner Name	Not available
Attorney Docket Number	46WD138884

**U. S. PATENT DOCUMENTS**

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**FOREIGN PATENT DOCUMENTS**

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Examiner Initials*	Cite No. <sup>1</sup>	FOREIGN PATENT DOCUMENT			T <sup>2</sup>
		Foreign Patent Document Country Code <sup>3</sup> Number <sup>4</sup> Grid Code <sup>5</sup> (If Known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	
/IM/	WO 02/103879		12-27-2002	Abb Ab	
/IM/	FR2823391A		10-11-2002	Electricite De France	

Examiner Signature	/Iraj Mohandes/ (02/13/2009)	Date Considered	02/13/2009
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<sup>6</sup>“XAMARK: Initial” if reference considered, whether or not citation is in conformance with MPEP 608. Draw line through citation on if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>7</sup>Applicant's initial citation and communication number, (optional). <sup>8</sup>See “Kind” Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 801.04. <sup>9</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.1). <sup>10</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. Kind of document by the appropriate symbol as indicated on the document under WIPO Standard ST.16 if possible. <sup>11</sup>Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. '22 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. \*Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria VA 22313-1450.

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